



PTO-1390 (Rev. 07-2005)  
Approved for use through 3/31/2007. OMB 0651-0021  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

## ATTORNEY'S DOCKET NUMBER

MC1-8344

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

10/593106

INTERNATIONAL APPLICATION No.  
PCT/GB2005/050033

INTERNATIONAL FILING DATE  
15 MARCH 2005

PRIORITY DATE CLAIMED  
15 MARCH 2004

**TITLE OF INVENTION**  
**EVANESCENT WAVE SENSING APPARATUS AND METHODS USING PLASMONS**

APPLICANT(S)FOR DO/EO/US  
ANDREW MARK SHAW

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- Applicant herewith submits to the United States Designated Office under 35 U.S.C. 371:
1. ☒ This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.
  2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.
  3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9), and (21) indicated below.
  4. ☒ The US has been elected (Article 31).
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
    - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
    - b. ☐ has been communicated by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
    - a. ☒ is attached hereto.
    - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
  7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
    - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
    - b. ☐ have been communicated by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

- |     |                                     |   |
|-----|-------------------------------------|---|
| 11. | <input checked="" type="checkbox"/> | An Information Disclosure Statement under 37 CFR 1.97 and 1.98.   |
| 12. | <input type="checkbox"/>            | An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.         |
| 13. | <input checked="" type="checkbox"/> | A preliminary amendment.  |
| 14. | <input type="checkbox"/>            | An Application Data Sheet under 37 CFR 1.76.  |
| 15. | <input type="checkbox"/>            | A substitute specification.   |
| 16. | <input type="checkbox"/>            | A power of attorney and/or change of address letter.  |
| 17. | <input type="checkbox"/>            | A computer-readable form of the sequence listing in accordance with PCT Rule 13 <del>ter</del> .2 and 37 CFR 1.821-1.825. |
| 18. | <input type="checkbox"/>            | A second copy of the published International Application under 35 U.S.C. 154(d)(4).                                       |
| 19. | <input type="checkbox"/>            | A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).             |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/593106		PCT/GN2005/050033		MC1-8344	
20. <input type="checkbox"/> Other items or information:					
The following fees have been submitted				CALCULATIONS	PTO USE ONLY
21.	<input checked="" type="checkbox"/>	Basic national fee (37 CFR 1.492(a)).....\$300		\$300.00	
22.	<input checked="" type="checkbox"/>	Examination fee (37 CFR 1.492(c))		\$200.00	
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0					
All other situations.....\$200					
23.	<input checked="" type="checkbox"/>	Search fee (37 CFR 1.492(b))		\$400.00	
If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100					
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....\$400					
All other situations.....\$500					
TOTAL of 21, 22 and 23 =				900.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)		RATE	
48-100=	0/50=			x \$250	\$0
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total Claims	21-20=	1	x \$50	\$50.00	
Independent Claims	5-3=	2	x \$200	\$400.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		0	+ \$360	\$0	
TOTAL OF ABOVE CALCULATIONS =				\$1,480.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					
SUBTOTAL =				\$740.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				+	\$
TOTAL NATIONAL FEE =				\$740.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
TOTAL FEES ENCLOSED =				\$740.00	
				Amount to be refunded:	
				Amount to be charged	

10/593106

IAP9/Rec'd PCT/PTO 15 SEP 2006

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- a. ☒ A check in the amount of \$740.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 20-0090 in the amount of \$\_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 20-0090. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and grant restore the International Application to pending status.

**SEND ALL CORRESPONDENCE TO:**

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